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ABSTRACT

States must accept the implied responsibilities of the Vocational Education Amendments of 1968 which relate to exemplary programs, and it is necessary for State Boards to incorporate the provisions of Part D into their policies and plans as well as establish a state office in charge of exemplary programs. Guidelines are included for developing a policy statement, preparing elements of a state plan, assigning responsibility for administration, identifying the function of the administrative body, staffing the state office, establishing exemplary program management, and managing resource allocation systems. Guidelines for submitting an application for a planning grant and preparing proposals as well as suggested criteria and forms for evaluating applications for planning grants and proposals for exemplary programs and projects are appended. (SB)

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PATTERNS AND GUIDELINES FOR ADMINISTERING EXEMPLARY PROGRAMS AND PROJECTS AT THE STATE LEVEL

JOHN K. COSTER
Center For Occupational Education

Occasional Paper No. 3

CENTER FOR OCCUPATIONAL EDUCATION
NORTH CAROLINA STATE UNIVERSITY AT RALEIGH
1969

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Professor of Agricultural Education and Director
of the Center for Occupational Education

1969

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PREFACE

This paper was initially prepared for presentation at the National Conference on Exemplary Programs sponsored by Georgia State College, at the Dinkler Hotel in Atlanta, Georgia on March 14, 1969. A summary of the paper appears in Gene Bottoms and Kenneth B. Matheny, A Guide for the Development, Implementation, and Administration of Exemplary Programs and Projects in Vocational Education (Atlanta: Georgia State College, 1969). The entire paper is being published by the Center for Occupational Education as a source of information for state managers of exemplary programs.

John K. Coster

PATTERNS AND GUIDELINES FOR ADMINISTERING EXEMPLARY PROGRAMS AND PROJECTS AT THE STATE LEVEL

This paper is addressed to the problem of developing functional guidelines by and through which the provisions of Part D of the Vocational Education Amendments of 1968, entitled "Exemplary Programs and Projects," may be incorporated into the policies and plans of State Boards for Vocational Education. The problem merits attention to three major areas of concern:

1. The establishment of a basic posture of State level responsibility concerning exemplary programs and projects.

2. The establishment of an organizational and administrative structure for implementing the provisions of Part D of the Act at the State level.

3. The establishment of an exemplary program management and resource allocation system at the State level.

The Framework of State Responsibility

The 90th Congress, through Senate Report No. 1675, House Report No. 1532, and the Joint Conference Report, published as House Report No. 1938, set forth in broad, sweeping strokes its concerns for the development of occupational education programs designed to meet changing occupational demands and to serve all persons who need training or retraining for employment. These reports, and the Act itself, convey a sense of urgency about the changes needed to make occupational education more adaptive and responsive to the needs of American society and the American people. Of the several provisions included in the Vocational Education Amendments, none offers more promise for the future of occupational education than the exemplary programs and projects provision.

The purposes of Part D of the Act, as set forth in Section 141, ". . . are to stimulate, through Federal financial support, new ways to create a bridge between school and earning a living for the young people, who are still in school, who have left school either by graduation or by dropping out, or who are in postsecondary programs of vocational preparation, and to promote cooperation between public education and manpower agencies." To achieve these purposes, Congress has established a joint venture between State and Federal agencies to facilitate the development of new models for

occupational education. By allocating 50 per cent of the funds authorized under Part D of the Act to State Boards for Vocational Education, Congress (1) has made it possible for the States to participate more effectively in the development of new models of occupational education to resolve the array of problems which were identified in the Senate and House Reports, (2) has provided the opportunity for State personnel to exercise enlightened leadership and educational statesmanship in the resolution of problems and the development of new programs, (3) has provided the opportunity for the States to develop their plans for the implementation of this part of the Act in accordance with the priorities peculiar to a specific State, and (4) has disaggregated the total program so that the States can become an effective instrument in soliciting the efforts and energies of the best qualified professional personnel to attack the problems and evolve new solutions. Although the Act makes clear that National purposes and intent are to be served, it also provides that the States shall be responsible both for developing their own policies and plans for accepting and administering the program.

Obvious hazards exist in attempting to present a policy statement for adoption by all States in this paper. And no precise statement regarding the preparation of the section of the State Plan relative to exemplary programs and projects may be made until Federal guidelines for the development of such plans have been issued. This section of the paper is limited, therefore, (1) to setting forth basic considerations that should govern the development of a policy statement, and (2) to listing the minimum elements that should be considered in preparing the section of the State Plan relative to exemplary programs and projects.

The Development of a Policy Statement

It is suggested that each State Board for Vocational Education develop and adopt a policy statement relative to exemplary programs and projects and that consideration be given to including the following elements in the policy statement:

1. A statement of the acceptance of the concepts and principles of exemplary programs and projects.

2. A statement directing all persons engaged in occupational education in the State to encourage, facilitate, and assist in the development of exemplary programs designed to improve the quality and quantity of occupational education in the State. This statement would include an emphasis on making occupational education more accessible to all persons whose academic, socio-economic, and other handicaps prevent them from succeeding in regular programs of vocational education.

3. A statement designed to foster the creation of a climate for innovation within the program. Imagination is a quality highly prized in the development of exemplary programs. Thus, it is essential that such a climate be manifested in the policies of the State Board, the elements of the State Plan, the organization and administration of the program, and, finally, in coordinating the exemplary program with program development and operation.

4. A statement describing the nature of cooperative and coordinative linkages between those concerned with the exemplary programs and those concerned with program development, management, and operation.

5. A statement providing for the articulation between research and operational problems in vocational education. Such a provision would be consistent with the criticisms of research that have been mentioned in the report of the Advisory Council on Vocational Education, entitled Vocational Education: The Bridge Between Man and His Work, and in the Senate and House Reports. The Advisory Council's recommendation to establish exemplary programs and the Senate Report, referred to earlier, indicated that these programs should be developed that feature designs to synthesize the findings of research and related projects and incorporate these findings into new models of occupational education.

6. A statement providing that Federal funds available under Section 142(d) of the Act will not be commingled with State or local funds.

Elements of the State Plan

Preliminary attention may be given to the preparation of the section of the State Plan relative to exemplary programs and projects. It is reasonable to assume that the following elements should be included in the Plan:

1. The establishment of an Exemplary Program Advisory Council to formulate the State priorities for exemplary programs.

2. The designation of responsibility for the administration of funds made available under Part D of the Act, and the qualifications of persons who will be responsible for administering the programs.

3. The relationship of the office responsible for administration of exemplary programs to the State Division of Vocational Education.

4. The organizations, institutions, and agencies, including nonprofit public schools, that may participate in the program.

5. The system of coordinating efforts under the programs.

6. The system of contracting procedures for funding proposals.

7. The system of quality control developed to ensure work of high quality.

Organization and Administration

This section of the paper deals with the organizational and administrative structure in the State Division of Vocational Education for administering exemplary programs. More specifically, it relates to assigning the responsibility for administration, identifying the functions of the administrative body, and staffing the State office in charge of exemplary programs.

Responsibility for Administration

If research and related activity may be defined to include such activities as basic and applied research; developmental, experimental, pilot, and demonstration projects; and exemplary and innovative programs, as well as research utilization and dissemination; then it appears appropriate that one office be established within the structure of the State Division of Vocational Education to stimulate, coordinate, manage, and disseminate the products by these activities and incorporate them into existing programs of occupational education.

The preferred option for administering exemplary programs is to lodge this responsibility with the Research Coordinating Unit within the State. The option of establishing a new unit to manage the exemplary programs is rejected due to proliferation and redundancy. The Research Coordinating Units, which were formed initially in 1965, have been established as a viable mechanism for stimulating, coordinating, and interpreting research and related activity. Their mention in Part C of the Vocational Education Amendments of 1968 constitutes a congressional endorsement of the principle underlying their establishment and the effectiveness of their operation. Parenthetically, the preferred option for managing the State research program established under Section 131(b) of the Act is to lodge this responsibility with the Research Coordinating Unit.

The issue of the location of the Research Coordinating Unit may be raised in connection with the preferred option. Regardless of where they are located, the Units are established to serve the State Division of Vocational Education. When located outside of the administrative structure of the State

Division of Vocational Education, there is need for a coordinating or liaison officer to effect a working relation between the Unit and the State Division. The location of the State office in charge of exemplary programs should present no problem with regard to grant negotiation, since grants will be negotiated by a State fiscal officer upon recommendation by the State Board for Vocational Education or its designated officer regardless of where the State office in charge of exemplary programs is located.

Functions of the Administrative Office

Within the administrative structure established to implement the exemplary programs, four major functions may be identified which not only guide the operation of the program but also serve as the basis for staffing. These functions are listed as follows:

1. The priority determination function. The priority determination function relates to the need for a continual study to be made within each State to identify the problems confronting occupational education and to establish priorities for exemplary programs. The responsibility for this function should be assigned to the manager of exemplary programs. In addition, an Exemplary Program Advisory Council should be established by the State Board for Vocational Education, charged with the responsibility for assessing the problem areas of occupational education and with determining the priorities for exemplary programs subject to review by the State Board for Vocational Education. At least one member of the State Advisory Council on Vocational Education should be appointed to the Exemplary Program Advisory Council. Other members of the Exemplary Program Advisory Council should include the State Director of Vocational Education or his designee, the Director of the Research Coordinating Unit, and the representatives of local school units, teacher education staffs, counselor education staffs, and members of the business and industrial community.

2. The consultative function. The consultative function relates to providing consultation services to assist personnel from local school units, colleges and universities, nonprofit private agencies, and other organizations that are eligible to participate in the program in developing adequate proposals for exemplary programs, and, especially, in developing adequate plans for the evaluation of the programs. The purpose of the consultative function is to ensure that viable ideas for exemplary programs are not rejected due to the inability of the innovator to communicate clearly his ideas. The producer of ideas may not necessarily be an effective packager of ideas. This function is analogous to the stimulating function of the Research Coordinating Units. The consultative function establishes a link between the State office in charge of exemplary programs and the prospective innovator by providing a channel through which ideas may flow from the

innovator to the State office in charge of exemplary programs.

3. The management function. The management function involves the establishment of criteria for the evaluation of proposals; the reception, review, and disposition of proposals; and the requisite fiscal arrangements for implementation, as well as monitoring the programs that are created. The management function will be shared with the designated fiscal officer of the State. Where the Research Coordinating Units are independent of the State Division of Vocational Education, the management function may be shared by the designated officer of the Research Coordinating Unit and a liaison officer of the State Division of Vocational Education.

4. The coordination and actuation function. The coordination and actuation function relates to the coordination of projects in terms of the interrelationship among programs to produce a massive impact on problems identified in the priorities of the State and includes responsibility for seminars and training programs for directors of exemplary programs. It also relates to coordination between the Unit and the other sections of the State Division of Vocational Education and with local units. In addition, this function relates to the development of strategies for introducing the products of the exemplary programs into the mainstream of program development and operation within the State, as well as the development of strategies for dissemination.

Staffing the State Office in Charge of Exemplary Programs

Effective implementation of the provisions of Part D of the Act within the State is contingent upon the recruitment of a competent and qualified professional staff to perform the functions ennumerated above and the necessary supporting staff to provide research and clerical assistance. In addition, it will be necessary to establish a budget for the maintenance of the office for travel and for other costs.

If the preferred option for lodging the State office in charge of exemplary programs in the Research Coordinating Unit is accepted, then it seems logical for exemplary programs to be established and that these persons be assigned the responsibility for managing the State's exemplary program. The associate director in charge of exemplary programs should have the assistance of at least one full-time professional assistant, with the suggested title of Program Consultant. The minimum staff complement for the office would include at least one full-time secretary and one or two part-time research assistants plus the associate director and program consultant.

The associate director in charge of exemplary programs. The associate

director in charge of exemplary programs would be responsible for the performance of the priority determination and the management functions. In consultation with the State Director of Vocational Education and the director of the Research Coordinating Unit, he would be responsible for organizing the Exemplary Program Advisory Council and for the establishment and dissemination of priorities for the program. He also would be responsible for managing the program, including the recommendation of proposals for funding, the monitoring of progress of planning grants and exemplary programs, and for ascertaining that funded programs are progressing satisfactorily.

The minimum qualifications of the associate director are:

1. Hold the master's degree or equivalent and preferably the doctorate in occupational education or a related field.

2. Had a minimum of two years experience as a teacher, supervisor, or administrator.

3. Had experience as a director or co-director of a research or related project.

The program consultant. The program consultant would be responsible for the consultative and coordination and actuation functions. He would assume the initiative for establishing contact with persons in the State interested in planning exemplary programs, provide technical assistance in the preparation of applications for planning grants and the development of proposals for exemplary programs, and interpret the priorities and guidelines to persons interested in participating in the program. He also would assist in reviewing applications for planning grants and proposals for exemplary programs. Once the program is underway, he would assume responsibility for coordinating the exemplary program with other programs in the State Division of Vocational Education and with other agencies. He also would be responsible for developing strategies for disseminating the results of the exemplary programs and for introducing the results into the operational programs of occupational education in the State in cooperation with professional personnel in the State Division of Vocational Education.

The minimum qualifications of the Program Consultant are:

1. Hold the master's degree or equivalent and preferably the doctorate in occupational education or a related field and have had formal training in the design and evaluation of research projects.

2. Have a minimum of two years of experience in education, research, developmental work, or related fields.

3. Had experience in conducting a research or related project, either as a director or as a research associate, preferably in projects closely related to exemplary programs.

Exemplary Program Management and Resource Allocation System

The ultimate effectiveness of the State's exemplary program is based on (1) the establishment of a channel through which personnel who conceive of ideas for exemplary programs may communicate these ideas to the State office in charge of exemplary programs, (2) assessing the practicality, potential value, or feasibility of the idea, (3) developing an adequate proposal as the vehicle for bringing the idea into fruitation, (4) conducting the program so that the idea is translated into a model for improving the quality and quantity of occupational education in the State, and (5) incorporating the results of the exemplary program into operational programs of occupational education.

The consultative function of the State office in charge of exemplary programs provides for informal lines of communications between innovators and the office. This provision enables prospective initiators of exemplary programs to obtain a hearing with regard to the feasibility of ideas in terms of their potential relevance to the priorities of the State. Prospective initiators should be encouraged to submit brief synopses of ideas for exemplary programs to the office for review and reaction. In the operation and implementation of the program, however, a more formal system of communication of ideas and management of resources is needed.

This section of the paper presents a system for managing the State's exemplary programs and allocating resources available to the State to these programs. Two assumptions underlie the Exemplary Program Management and Resource Allocation System described herein:

1. The Federal funds that are made available to States under the provisions of Section 142(d) of the Vocational Education Amendments of 1968 are to be managed as scarce resources, so that it is imperative that the management system direct these resources toward problems of high priority.

2. The management of resources for exemplary programs dictates that quality control procedures be instituted. These procedures would provide for periodic reviews of progress and for the termination of programs whenever satisfactory progress has not been made.

The Exemplary Program Management and Resource Allocation System is based in part on the conditions of grants expressed in Section 143 of the

Act. According to this section, grants may be provided to fund all or part of the cost of (1) planning and developing exemplary programs, and (2) establishing, operating, or evaluating exemplary programs. This system provides for the initiation of proposals, the development of proposals under a planning grant, review of proposals, the monitoring of grants, the termination of programs, and the introduction of the products of the programs into the operational programs of occupational education.

The system, shown schematically in Figure 1, is divided into two subsystems: the exemplary program conception, feasibility, and development subsystem; and the exemplary program actuation and execution subsystem.

Exemplary Program Conception, Feasibility, and Development Subsystem

The exemplary program conception, feasibility, and development subsystem provides for (1) the receiving of applications for planning grants, (2) the evaluation and disposition of these applications, (3) the approval and funding of planning grants, (4) the monitoring of progress of the grants, (5) the receiving of proposals for exemplary programs, (6) the evaluation and disposition of these proposals, and (7) the funding of exemplary programs.

The subsystem is divided into two phases. Phase I involves receiving and disposing of applications for planning grants. A suggested guideline for submitting applications for these grants is attached to this paper as Appendix A. The application requests the following information:

1. The problem to which the proposed exemplary program is addressed and its relation to the priority areas for the State.

2. The objectives of the program, expressed in terms of the product to be produced at the termination of the project.

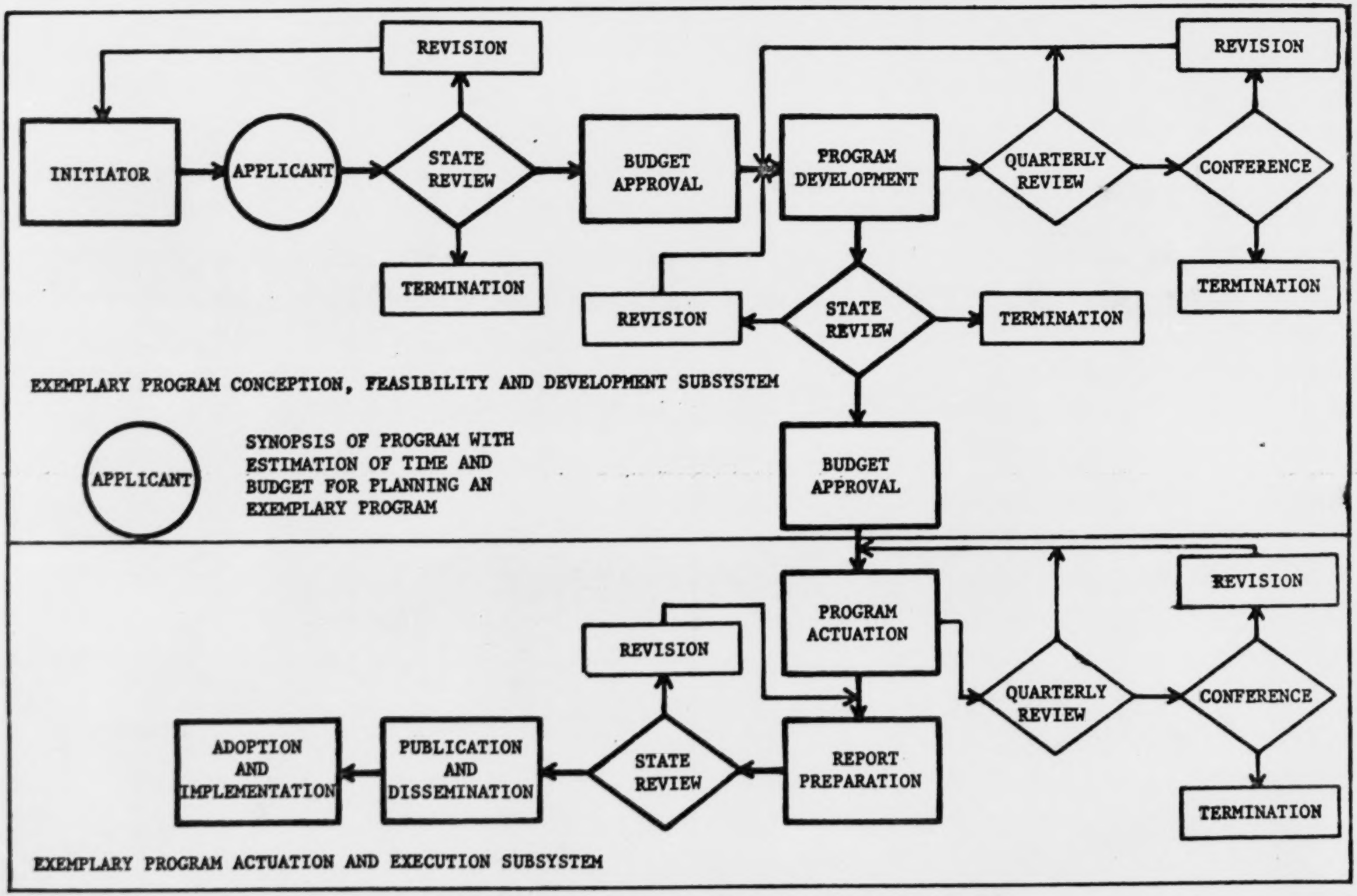
3. A brief description of activities and procedures proposed for conducting the exemplary program.

4. A brief description of activities in which the initiator plans to engage during the planning period.

5. The qualifications of the personnel who will direct the program.

6. An estimate of the cost required to plan or develop the proposal for the exemplary program.

The application will be submitted to the State office in charge of



EXEMPLARY PROGRAM MANAGEMENT AND RESOURCE ALLOCATION SYSTEM

FIGURE 1

exemplary programs. After initial screening for completeness, the application will be referred to an ad hoc review panel of three or more members for evaluation and recommendations. Suggested criteria for evaluating applications for planning grants are attached to this paper as Appendix B. The options to the members of the review panel are (1) approval, (2) provisional approval with specific recommendations for revision, and (3) disapproval. Applications that are provisionally approved by the review panel may be approved by the manager of exemplary programs if the recommendations are fulfilled. If the application is approved, then a recommendation for awarding a grant to the contracting organization will be made to the State Board for Vocational Education or to the officer designated to give financial approval and authorize the issuance of a grant. The planning grant then will be negotiated by a State fiscal officer.

Phase II of the subsystem pertains to the preparation of the proposal for the exemplary program. It provides for the monitoring of the planning grant to ensure that satisfactory progress is being made toward the development of an exemplary program and requires quarterly progress reports. The management procedures include an option for terminating the planning grant where there is lack of evidence of satisfactory progress. The termination of a grant should be an action of the last resort, but it should be an option open to the manager of the exemplary programs. The suggested termination procedures are:

1. A conference of the State exemplary program manager, the program director, and the appropriate officer of the applicant organization will be held to discuss the evidence of lack of satisfactory progress toward the planning of the exemplary programs.

2. The results of the conference will be reported to the Exemplary Program Advisory Council, together with a recommendation for termination.

3. Subject to concurrence of the Exemplary Program Advisory Council, a recommendation for termination will be submitted to the State Board for Vocational Education or its designated officer.

4. Subject to the acceptance of the recommendation for termination, the State Board for Vocational Education or its designated officer shall instruct the State fiscal officer to terminate the grant and suspend payment of additional funds.

The end product of the planning grant is a proposal for an exemplary program. Suggested guidelines for the preparation of exemplary programs and projects are included in this paper as Appendix C. These guidelines require that information be provided relative to:

1. The specification of the exemplary program, including the definition of the problem area toward which the program is directed, a description of the program, the rationale on which the program is based, and the objectives of the program stated in terms of the product to be produced at the termination of the program.

2. The activities and procedures to be undertaken, including the overall plan or design, the setting in which the exemplary program will be conducted, the participants in the program, and the organization and administrative arrangements.

3. The proposed plan for evaluating the effectiveness of the exemplary program in light of the objectives of the program, including the evidence that will be obtained to demonstrate the efficacy of the model, how the evidence will be obtained, and how it will be analyzed and presented.

4. The plan for introducing the results of the program into the operational structure of the applicant organization, the plan for demonstrating the products of the program, and the plan for disseminating the results in addition to the final report and publication of results in periodicals and journals.

5. A time schedule for indicating the estimated dates for completing major events occurring in the program, such as the completion of the preparation of preliminary drafts of instructional materials, the completion of field testing, or the completion of the preparation of the preliminary draft of the final report.

6. A plan of financing the program prepared as a budget to support the request for funds, subdivided by major categories such as personnel, travel, supplies, and communications.

The completed proposal will be submitted to the office in charge of exemplary programs. Proposals will be screened initially by the members of the professional staff of the office for completeness. If the proposal is complete, it will be referred to the review panel for evaluation and recommendations. The procedures for disposing of proposals for exemplary programs are the same as the ones given earlier for the application for planning grants.

Exemplary Program Actuation and Execution Subsystem

The exemplary program actuation and execution subsystem provides for the management of exemplary programs from the point of time when the grant award is made through the publication of the final report to the adoption and implementation of the new model developed pursuant to the provisions of

the proposal. Once the program is actuated, quarterly progress reports will be required in accordance with the conditions of the grant. These quarterly reports will be reviewed by the office in charge of exemplary programs, and acceptance of the report constitutes evidence of satisfactory progress. In the event that evidence of satisfactory progress is not presented, then provisions are made for a systematic review of the status of the program, through a conference between the State exemplary program manager, the program director, and an official representing the applicant organization. The subsystem also provides an option for termination, which is identical to that described in the preceeding subsection of this paper.

A final report will be required upon completion of the program. The final report is divided into three parts. The first part is a substantitive report of the conduct of the program. The subsystem provides that a preliminary draft of this report be submitted to the State office in charge of exemplary programs for staff review. Suggestions for revisions will then be transmitted to the program director for inclusion in the final report.

Once the program has been completed, the plan for disseminating the results specified in the proposal will be instituted. The second part of the final report constitutes a report on the dissemination of the results, including activities conducted while the program was in progress to demonstrate the viability and potentiality of the exemplary program.

Applicant organizations submitting proposals for exemplary programs are obligated to demonstrate the feasibility and practicality of the exemplary program undertaken, and, where appropriate, to make plans for incorporating the model developed during the program into the operational structure of the organization. The third part of the final report, therefore, consists of a detailed statement of how the model is to be incorporated into the program of the applicant organization.

The submission of the three parts of the final report to the State office in charge of exemplary programs and the acceptance of these reports constitutes evidence that the conditions of the grant have been fulfilled and the obligations of the program director and the applicant organization have been satisfied.

The results of the program will then be reviewed by the State office for exemplary programs in cooperation with members of the professional staff of the State Division of Vocational Education for possible adoption of the model and/or incorporation of the results of the program into the operational structure of state and/or local programs of occupational education.

Summary

The Vocational Education Amendments of 1968 provide for States to participate in the process of reshaping occupational education by making available Federal funds through authorization of Part D of the Act to State Boards of Vocational Education to finance exemplary programs and projects selected by the State Board or its designated agency. The opportunities for the States to participate in the venture necessitates that the States accept the implied responsibility for encouraging the development of new models of occupational education and to adopt the necessary policies and develop the appropriate sections in the State plan to govern the activities in the States. Special emphasis is placed on creating a climate for innovation in the State and on utilizing the products of research and related projects in planning, developing, and executing exemplary programs.

In addition to accepting the provisions of the Act relating to exemplary programs, it is necessary for the State Board for Vocational Education to establish a State office in charge of exemplary programs. The preferred option is to lodge the State office in charge of exemplary programs within the State's Research Coordinating Unit. The office, to be headed by an associate director of the Research Coordinating Unit in charge of exemplary programs, is assigned four functions, including a priority determination function, a consultative function, a management function, and a coordination and actuation function. The importance of adequate staffing of the office and adequate budgeting for operational expenses is stressed. It is recommended that an Exemplary Program Advisory Council be established by authority of the State Board for Vocational Education to make a continual assessment of the long-range operational problems of the State and to establish priorities for exemplary programs.

An Exemplary Program Management and Resource Allocation System is presented in the body of the paper which details a systematic approach to soliciting, receiving, evaluating, funding, and monitoring planning grants and fully developed proposals for exemplary programs. The system is designed to facilitate the submission and review process, to provide for the allocation of resources, and to provide for quality control of the work to be undertaken with options of terminating programs whenever there is lack of evidence of satisfactory progress. The system also provides for the dissemination of results and for incorporating the results of the programs into operational programs of occupational education.

APPENDIX A

GUIDELINES FOR SUBMITTING AN APPLICATION FOR A PLANNING GRANT FOR DEVELOPING AN EXEMPLARY PROGRAM OR PROJECT

I. COVER PAGE

APPLICATION FOR A PLANNING GRANT TO DEVELOP AN EXEMPLARY PROGRAM OR PROJECT SUBMITTED TO THE STATE BOARD FOR VOCATIONAL EDUCATION UNDER THE AUTHORITY OF SECTION 142(d) OF THE VOCATIONAL EDUCATION AMENDMENTS OF 1968, P. L. 90-576

TITLE OF PROGRAM: (Be concise; avoid technical terms)

APPLICANT ORGANIZATION: (Name and address of College or University, School District, Nonprofit Private Agency, or other unit.)

INITIATED BY: _____ Signature

(Full name of person responsible for developing the application; position; telephone area code, number, and extension.)

PROGRAM DIRECTOR: _____ Signature

(Full name of person in charge of the planning grant; position; telephone area code, number, and extension.)

CERTIFICATION OF COMPLIANCE: I certify that an Assurance of Compliance with Title VI of the Civil Rights Act of 1964 has been filed with the U. S. Department of Health, Education and Welfare, and that it applies to this application for a planning grant.

CERTIFICATION OF NEED: I certify that funds are not available for the application organization to develop a proposal for the exemplary program described in this application.

TRANSMITTED BY: _____ Signature

(Full name and position of person committing the applicant organization to the planning grant; telephone area code, number, and extension.)

DURATION OF PLANNING GRANT: (Proposed beginning and ending dates)

TOTAL FUNDS REQUESTED:

DATE TRANSMITTED:

II. THE APPLICATION FOR THE PLANNING GRANT

The purpose of the planning grant is to provide funds to qualified applicant organizations to pay the cost of developing a viable proposal for an exemplary program or project. Funds may be requested to pay the salaries of personnel who are released from their regular assignments in the applicant organization to develop an adequate proposal for an exemplary program. Funds also may be requested to pay travel costs and other expenses incurred in the preparation of the proposal. Applicant organizations must certify that funds are not available locally to develop the proposal for the program described in the application for the planning grant.

The application is an instrument for the communication of an idea for an exemplary program. In the application, the initiator is requested to describe the idea, define the problem area to which it is related, indicate the relation of the problem area to the State priorities for exemplary programs, state briefly the objectives of the program in terms of the product to be produced at the termination of the program, describe briefly how the program will be conducted, indicate the activities to be undertaken during the period covered by the planning, state the qualifications of the program director, and provide an estimate of cost for preparing the proposal.

Information regarding each of the following points should be included in the application for the planning grant.

Problem Area: State briefly the problem area to which the proposed exemplary program is addressed, describe briefly the exemplary program, indicate the target population, justify the significance of the proposed program in terms of State priorities for exemplary programs, and delineate briefly the exemplary features of the idea.

Objectives: The objectives of the exemplary program should be stated in terms of the product to be produced at the termination of the program, insofar as this is possible in the initial planning stage. The end product may be a new curriculum, a new structure for occupational education in a local school, or a system for introducing occupational education into elementary schools.

Description of Activities and Procedures: Describe briefly how and where the program will be conducted, and the procedures that will be employed in conducting the program.

Description of Activities During the Planning Period: Describe briefly the activities in which the program director will engage in the development of the proposal for an exemplary program, during the period covered by the planning grant.

Personnel: Provide a brief resume of the qualifications of the person(s) who will be responsible for planning the program, and indicate special qualifications and experience which should be considered in evaluating the application.

Budget: Submit an estimate of costs requested to plan the proposal for the exemplary program, and attach to the application a brief statement to justify the funds requested. Budgets will be negotiated by a state fiscal officer, subject to recommendations of the review panel and in consultation with the initiation of the application.

Start the budget on a separate page, and follow the format shown on the budget worksheet.

BUDGET WORKSHEET FOR APPLICATIONS FOR PLANNING GRANTS

Initiator_____ Duration of Proposed Program_____

Institution or Agency_____ Beginning Date_____ Ending Date_____

Category	Project Costs by Line Items: State-Federal	Local
I. DIRECT COSTS A. Personnel (List all position titles such as program director, secretary, consultants*, etc. State percent of time on program, per annum salary, and beginning and ending dates for each person.)		
B. Employee Benefits (Summarize benefits such as Social Security, Retirement, etc.)		
C. Travel (Indicate fares and/or mileage at allowable rates; number of days per diem* and rate.)		
D. Supplies and Materials (Give costs for office supplies.)		
E. Communications		
F. Services (Give costs for duplication and other services required in the development of the exemplary program.)		
G. Final Report Costs	N/A	N/A
H. Equipment	N/A	N/A
I. Other Direct Costs (List and justify)		
J. Subtotal, Direct Costs		
II. INDIRECT COSTS (Give basis on which local overhead is computed, who established the rate, when, and period covered.)		
III. TOTAL COSTS		
IV. COST SHARING (Give per cent)		

*Consultants: Show rate and number of days under Personnel; transportation and per diem under Travel.

APPENDIX B

SUGGESTED CRITERIA AND PROPOSED FORM FOR EVALUATING APPLICATIONS FOR PLANNING GRANTS TO DEVELOP EXEMPLARY PROGRAMS OR PROJECTS

SUGGESTED CRITERIA AND PROPOSED FORM FOR EVALUATING APPLICATIONS

FOR PLANNING GRANTS TO DEVELOP EXEMPLARY PROGRAMS OR PROJECTS

Title of Program_____

_____

Initiator_____

Title or Position_____

Applicant Organization_____

The criteria to be considered in evaluating the application of the planning grant are listed under the categories of significance and relevance, activities and plans, personnel, and economic efficiency. Review panel members are requested to indicate whether each criterion is judged to be satisfactory, and to comment briefly (attach additional sheets) on the adequacy of the application relative to each category.

Significance and Relevance	Yes	No
1. The application is addressed to a significant problem area that is relevant to the State priorities for exemplary programs.	___	___
2. The idea for the exemplary program described in the application has promise for developing new models for occupational education in the State.	___	___
Activities and Plans		
3. The overall plan presented in the application merits support for a planning grant.	___	___
4. The activities in which the initiator proposes to engage during the planning period are designed to produce an adequate proposal for an exemplary program.	___	___

Personnel	Yes	No
5. The personnel are qualified to plan the exemplary program based on evidence of training and experience.	___	___
Economic Efficiency		
6. The costs for planning the exemplary program are reasonable and justifiable.	___	___
7. The ratio of costs to probable outcomes is satisfactory.	___	___

Recommendation (Check one)

_____Approval

_____Provisional approval. State the provisions (attach additional sheets) to be satisfied by the initiator in order for the application to be approved.

_____Disapproval

Signature of Reviewer Date

APPENDIX C

GUIDELINES FOR PREPARING PROPOSALS FOR EXEMPLARY PROGRAMS AND PROJECTS

I. COVER PAGE

PROPOSAL FOR AN EXEMPLARY PROGRAM OR PROJECT SUBMITTED TO THE STATE BOARD FOR VOCATIONAL EDUCATION UNDER THE AUTHORITY OF SECTION 142(d) OF THE VOCATIONAL EDUCATION AMENDMENTS OF 1968, P. L. 90-576

TITLE OF PROGRAM: (Be concise, avoid technical terms)

APPLICANT ORGANIZATION: (Name and address of College or University, School District, Nonprofit Private Agency, or other unit.)

INITIATED BY:

_____ Signature

(Full name of person responsible for developing the proposal; position; telephone area code, number, extension.)

PROGRAM DIRECTOR:

_____ Signature

(Full name of person in charge of the program; position; telephone area code, number, extension.)

CERTIFICATION: I certify that an Assurance of Compliance with Title VI of the Civil Rights Act of 1964 has been filed with the U. S. Department of Health, Education, and Welfare, and that it applies to this program proposal.

TRANSMITTED BY:

_____ Signature

(Full name and position of person committing the applicant organization to the program; telephone area code, number, extension.)

DURATION OF PROGRAM: (Proposed beginning and ending dates)

TOTAL FUNDS REQUESTED: $_____ for first year

$_____ for duration of program

DATE TRANSMITTED:

II. ABSTRACT

Starting on a separate sheet, provide a one-page abstract of the program. Insert the abstract immediately following the cover page. Provide the following information:

Title of Program:

Program Director:

Applicant Organization:

Total Funds Requested:

Beginning Date:_____ Ending Date:_____

Objectives: State briefly the purpose, objectives, or nature of the program and indicate briefly the principal exemplary feature of the program.

Activities or Procedures: Give a brief description of the overall design or plan of the program.

Expected Contribution to Developing New Models of Occupational Education: Indicate briefly how the proposed program will contribute to the improvement of the quality and quantity of occupational education, and its implications for developing new programs in the State, or for extending and expanding occupational education to persons not currently being adequately served.

III. THE BODY OF THE PROPOSAL

The proposal is an instrument of communication of intent and commitment. In the body of the proposal, the initiator is expected to indicate clearly the nature and scope of the exemplary program or project which he purports to conduct, to relate the program to the problem(s) or conditions that generate the needs of a new addressment to existing programs and conditions, to describe and synthesize the products of research and related programs that are to be incorporated in the exemplary program, to specify the objectives of the program, to describe how, when, and where the program is to be conducted, to describe how the program is to be evaluated, to indicate how the product of the program is to be implemented, and to prepare an estimate of the cost for conducting the program.

The subheadings under the guidelines define the information desired for an adequate appraisal of the proposed program. Appropriate information should be presented under each major section of the body of the proposal; however, within a section, the initiator is free to present the information in the manner that will enable him to communicate most effectively and forcibly with the persons who will be responsible for reviewing and evaluating the proposal.

Specification of the Program or Project

This section of the proposal indicates why the program or project should be undertaken. It begins with a definition of the problem area, includes the description of the proposed program or project, presents a rationale underlying the program, and concludes with a statement of the objectives of the program expressed in terms of the product resultant at the termination of the project.

Problem Area

State and delineate the problem, complex of problems or area(s) of concern toward which the program is directed and relate the problem area to the priorities for exemplary programs in the State and to the need to develop new models for occupational education. Present background information relevant to the problem and cite references and data which support the significance of the problem. Describe the target population, where appropriate.

Program or Project Description

Describe the proposed program or project in sufficient detail to indicate (1) the nature and scope of the program or project, (2) the exemplary features of the program, (3) the potential impact of the program toward improving the quality and quantity of occupational education in the State, (4) the feasibility of the program in terms of potential adoption into the state program of occupational education, (5) the potential contribution of the program toward resolving the problem area or areas of concern defined in the preceeding subsection, and (6) the justification for requesting Federal and State funds to conduct the program.

Rationale

State the operational framework or rationale that buttresses the proposed program. Present a review and summary of the findings and products of research and related programs and projects which form the basis for the proposed program, and demonstrate how the products of these programs and projects will be introduced into the program described in the preceeding subsection.

Objective(s)

State the objective(s) of the program in terms of the product--i.e., new curriculum, organizational models, new work experience programs--to be produced at the termination of the program, and delineate the objectives to the extent that the delineation may serve as a guide to the design or plan of the program and for evaluating the efficacy of the program.

Activities and Procedures

This section of the proposal indicates what is to be done: how the proposed exemplary program or project is to be conducted. It provides information regarding the design or plan of the program, the setting in which the program will be conducted, the participants in the program, and organizational and administrative arrangements for conducting the program.

Overall Design or Plan

Describe the overall design or plan for the program in sufficient detail to demonstrate clearly that the design or plan is appropriate for attaining the objectives set forth in the preceeding section. Justify the design or plan in terms of its appropriateness for attaining the objectives. Where appropriate, indicate options for alternative courses of action that may be employed if the need arises.

The Setting

Describe the setting in which the exemplary program will be conducted, including such information as the communities, schools, or classes which will be used in conducting the program; the appropriateness of the

units for conducting the program; and demographic characteristics of the communities, schools, or classes which may be useful in assessing the appropriateness of the setting.

Participants

Describe the participants in the programs in terms of the special or unique features of the program and the criteria for their selection. For example, in a curriculum development program or in a work experience program, describe the characteristics of the students who will serve as subjects in the development and testing of the program.

Organizational and Administrative Arrangements

Describe the organizational and administrative structure for conducting the program. Indicate the relationship between the proposed program staff and local administrators, supervisors, teachers, guidance counselors, community personnel, and advisory committees. Indicate the commitment of the local administrative unit--university, college, community college or technical institute, or local school unit--in conducting the program. Describe special cooperative arrangements with other agencies, institutions, or the business and industrial community.

Evaluation

This section of the proposal presents the plans or strategies for evaluating the program in light of the stated objectives. It indicates that evidence which is to be submitted to demonstrate the objectives have been attained, how the evidence is to be collected, the instrumentation and data collecting instruments to be used, and the proposed method of analyzing the data. Where the programs involve field testing, the description should include information regarding the base line data to be collected for evaluation and/or the use of experimental and control groups in the evaluation process. The evaluation should provide for assessing the appropriateness of the process of developing the exemplary program as well as for assessing the product of the program.

Utilization and Dissemination

This section of the proposal indicates the plans for incorporating the results of the exemplary program into the operational framework of the applicant organization, and the plans for disseminating the results of the program.

Utilization

Describe the plans for incorporating the results of the exemplary program into the operational framework of the application organization or consortium of units participating in the exemplary program. Indicate briefly the feasibility and practicality of the exemplary features of the program, and provide evidence that the applicant organization is willing to finance the program once the program has been terminated.

Dissemination

Describe the plans for disseminating the results of the program, in addition to traditional methods of dissemination such as the preparation of a final report or the preparation of articles for periodicals. Give particular attention to making provisions for demonstrations of the exemplary features of the program during the process of the program, and for seminars, conferences, and workshops to be conducted when the program has been completed.

Time Schedule

This section of the proposal presents a time schedule for the completion of the major events in conducting the program.

Personnel and Facilities

This section of the proposal presents information regarding the qualifications of the personnel who will conduct the program and the availability of adequate facilities for conducting the program.

Personnel

List the names, titles, and a brief statement of the pertinent experience and unique qualifications of the personnel who will conduct the program, especially the program director. List the names and qualifications of consultants whenever possible. Indicate whether the key personnel and consultants have agreed to serve on the program.

Facilities

Indicate any special facilities available which will enhance the successful completion of the program.

The Budget

This section of the proposal presents the proposed plan for financing the program. The budget should be prepared for the duration of the program subdivided according to fiscal years beginning July 1 and ending on June 30. Programs are limited to three years duration, but a program may encompass four fiscal years. Budgets will be negotiated by a state fiscal officer, subject to recommendations by the Review Panel and in consultation with the initiator of the program.

The budget worksheet provides for local cost sharing of the costs of the program, and local contributions should be shown regardless of the policy of the State Board for Vocational Education to require local contributions.

Start the budget on a separate page, and follow the format shown in the budget worksheet. Attach additional sheets where needed to explain unusual costs of the program.

BUDGET WORKSHEET FOR EXEMPLARY PROGRAMS

Initiator_____ Duration of Proposed Program_____

Institution or Agency_____ Beginning Date_____ Ending Date_____

Category	Project Costs by Line Items							
	First Year		Second Year		Third Year		Total	
	State-Federal	Local	State-Federal	Local	State-Federal	Local	State-Federal	Local
I. DIRECT COSTS								
A. Personnel (List all position titles such as program director, secretary, research assistants, consultants*, etc. State per cent of time on program, per annum salary, and beginning and ending dates of employment for each person.)								
B. Employee Benefits (Summarize benefits such as Social Security, retirement, etc.								
C. Travel (Indicate fares and/or mileage at allowable rates; number of days per diem* and rate.)								
D. Supplies and Materials 1. Project Materials 2. Office Supplies								
E. Communications								
F. Services 1. Duplication 2. Statistical 3. Testing 4. Other								
G. Final Report Costs								
H. Equipment (Where allowable)								
I. Other Direct Costs (List)								
J. Subtotal, Direct Costs								
II. INDIRECT COSTS (Give basis on which local overhead is computed, who established the rate, when, and period covered.)								
III. TOTAL COSTS								
IV. COST SHARING (Give per cent)								

*Consultants: Show rate and number of days under Personnel; transportation and per diem under Travel.

APPENDIX D

SUGGESTED CRITERIA AND PROPOSED FORM FOR EVALUATING PROPOSALS FOR EXEMPLARY PROGRAMS AND PROJECTS

SUGGESTED CRITERIA AND PROPOSED FORM FOR EVALUATING

PROPOSALS FOR EXEMPLARY PROGRAMS AND PROJECTS

Title of Program _____

_____

Initiator _____

Title or Position _____

Applicant Organization _____

The criteria to be considered in evaluating the proposal for an exemplary program are listed under the categories of significance and relevance, activities and plans, utilization, personnel and facilities, and economic efficiency. Review panel members are requested to indicate whether each criterion is judged to be satisfactory, and to comment briefly (attach additional sheets) on the adequacy of the proposal relative to each category.

Significance and Relevance	Yes	No
1. The proposal is addressed to a significant problem area that is relevant to the State priorities for exemplary programs.	___	___
2. The idea for the exemplary program described in the proposal has promise for developing new models for occupational education in the State.	___	___
Activities and Plans		
3, The problem area and the objectives are clearly defined and the objectives are stated in a manner to facilitate the evaluation of the program.	___	___

Activities and Plans (Continued)	Yes	No
4. The rationale on which the program is based is sound, adequately developed and the products of research and related activities on which the program is based are adequately delineated, synthesized, and relevant to the proposed program.	___	___
5. The procedures necessary to attain the objectives are appropriate and technically sound.	___	___
6. The working arrangements, denoted in the setting, the participants, and the organizational and administrative arrangements, are conducive to attaining the objectives of the program.	___	___
7. The plan of evaluation is complete, technically sound and the analytical procedures are appropriate for the evaluation.	___	___
Utilization		
8. The proposal clearly indicates the feasibility of utilizing the results of the program in improving the quality and quantity of occupational education.	___	___
9. The proposal clearly indicates that the applicant organization is committed to introducing the results of the program into its operational program.	___	___
10. The plans for disseminating the results of the program and for demonstrating the exemplary features of the program are adequate.	___	___
Personnel and Facilities		
11, The personnel assigned to the program are qualified to conduct the program.	___	___

Personnel and Facilities (Continued)	Yes	No
12. The proposal provides for the use of professional personnel outside the field of education where appropriate.	___	___
13. The facilities for carrying out the program are adequate.	___	___
14. The nature of the cooperation for participating schools or other agencies is clearly identified, and adequate evidence of committment is presented.	___	___
Economic Efficiency		
15. The costs for conducting the program are reasonable and justifiable.	___	___
16. The ratio of costs to probable outcome is satisfactory.	___	___

Recommendations (Check one)

_____ Approval

_____ Provisional approval. State the provisions (attach additional sheets) to be satisfied by the initiator in order for the proposal to be approved.

_____ Disapproval

_____

Signature of Reviewer Date